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## NOTIFICATION OF ELECTION

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Date of mailing (day/month/year) 26 July 1999 (26.07.99)	
International application No. PCT/GB98/03501	Applicant's or agent's file reference A25714 WO
International filing date (day/month/year) 24 November 1998 (24.11.98)	Priority date (day/month/year) 04 December 1997 (04.12.97)
Applicant BEDDUS, Simon, Alexander et al	

1. The designated Office is hereby notified of its election made:

☒ in the demand filed with the International Preliminary Examining Authority on:

28 June 1999 (28.06.99)

☐ in a notice effecting later election filed with the International Bureau on:2. The election ☒ was☐ was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

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# PATENT COOPERATION TREATY

## PCT

14 MAR 2000

### INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference <b>A25714 WO</b>	<b>FOR FURTHER ACTION</b> <small>See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)</small>	
International application No. <b>PCT/GB98/03501</b>	International filing date ( <i>day/month/year</i> ) <b>24/11/1998</b>	Priority date ( <i>day/month/year</i> ) <b>04/12/1997</b>
International Patent Classification (IPC) or national classification and IPC <b>H04Q11/04</b>		
Applicant <b>BRITISH TELECOMMUNICATIONS PUBLIC L. C. ....et al.</b>		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
  
2. This REPORT consists of a total of 6 sheets, including this cover sheet.
 

☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of    sheets.

3. This report contains indications relating to the following items:
 

- I    ☒ Basis of the report
  - II   ☐ Priority
  - III   ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
  - IV   ☐ Lack of unity of invention
  - V    ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
  - VI   ☐ Certain documents cited
  - VII   ☒ Certain defects in the international application
  - VIII   ☐ Certain observations on the international application

Date of submission of the demand  <b>28/06/1999</b>	Date of completion of this report  <b>10. 03. 2000</b>
Name and mailing address of the international preliminary examining authority: European Patent Office - P.B. 5818 Patentlaan 2 NL-2280 HV Rijswijk - Pays Bas Tel. +31 70 340 - 2040 Tx: 31 651 epo nl Fax: +31 70 340 - 3016	Authorized officer  <b>Staessen, B</b>  Telephone No. +31 70 340 2818 <div style="text-align: right;"> </div>

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/GB98/03501

**I. Basis of the report**

1. This report has been drawn on the basis of (*substitute sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to the report since they do not contain amendments.*):

**Description, pages:**

1-8 as originally filed

**Claims, No.:**

1-10 as originally filed

**Drawings, sheets:**

1/9-9/9 as originally filed

2. The amendments have resulted in the cancellation of:

- ☐ the description, pages:  
☐ the claims, Nos.:  
☐ the drawings, sheets:

3. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

4. Additional observations, if necessary:

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/GB98/03501

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

**1. Statement**

Novelty (N)	Yes:	Claims	1 - 10
	No:	Claims	
Inventive step (IS)	Yes:	Claims	2
	No:	Claims	1, 3 - 10
Industrial applicability (IA)	Yes:	Claims	1 - 10
	No:	Claims	

**2. Citations and explanations**

**see separate sheet**

**VII. Certain defects in the international application**

The following defects in the form or contents of the international application have been noted:

**see separate sheet**

**Re Item V**

Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1) The following document (D1) is mentioned in this report; the numbering will be adhered to in the rest of the procedure:

D1 : MIKELAITIS P.: "A tutorial on ISDN Customer Call Control. I" (XP002075878) THE TELECOMMUNICATION JOURNAL OF AUSTRALIA, vol. 38, no. 1, 1988, pages 75-92, AU

2) The present application does not satisfy the criterion set forth in Article 33(3) PCT because the subject-matter of the independent claims 1, 8 and 10 does not involve an inventive step (Rule 65(1)(2) PCT).

**2.1) Claim 1**

Document D1 discloses a method of operating a communications systems comprising:

exchanging (see e.g. fig 5.8 and paragraphs 5.5.1.3) between communication terminals ("customers") call control capability data ("service invocation"), which call control capability data identifies for each respective terminal a selected one or more of a plurality of different call control capability data; selecting up a call between the said communications terminals using call control capability data.

The subject-matter of claim 1 differs from D1 in that the call control capability data are explicitly defined as "call control protocols" and/or "different addresses".

However, in D1 the idea of specifying "service" (checking "compatibilities") using "SETUP" messages is well-known. These messages are independent of the call setup (See for example paragraph 5.5 "information phase"). Therefore, upon

circumstances the skilled man would immediately take into consideration to apply the technique of D1 for extending the "call control capabilities ("services") to call control protocols and network addresses.

Therefore, the subject-matter of claim 1 does not involve an inventive step.

2.2) **Claims 8 and 10** defines the same features as defined in claim 1 but in terminal resp network features . The same argumentation as above applies also to claims 8 and 10.

2.3) **Dependent Claims 3 - 7, 9** do not appear to contain any additional features which, in combination with the features of any claim to which they refer, involve an inventive step for the following reasons:

- The additional features of the dependent claims 3-5 and 9 are also implicitly disclosed in D1 (For claim 3 see for example figure 5.8)
- The additional features of claims 4 - 7 are considered to be standard techniques or slight modifications in the method of claim 1.

2.4) The combination of the features of **dependent claim 2** is neither known from, nor rendered obvious by, the available prior art.

The step of exchanging call control capability data is carried out prior to initiating call set-up.

The advantage of exchanging this data at that time is that it is not necessarily to start or proceed with the setup of the call if a terminal has not the capability. The process of exchanging call control capability data is now independent of the call setup and improves therefore the flexibility of the method.

**Re Item VII**

Certain defects in the international application

The independent claims should have been cast in the two-part form. The features of D1 which are known from the prior art should have been placed in the preamble of the two-part form claims as required by Rule 6.3(b) PCT.

To meet the requirements of Rule 5.1(a)(ii) PCT, the document D1 should have been identified in the description and the relevant background art disclosed therein should have been briefly discussed.

The applicant should have brought the description into conformity with the amended claims.

Reference parentheses in brackets should have been inserted in the claims to increase their intelligibility, Rule 6.2 (b) PCT.

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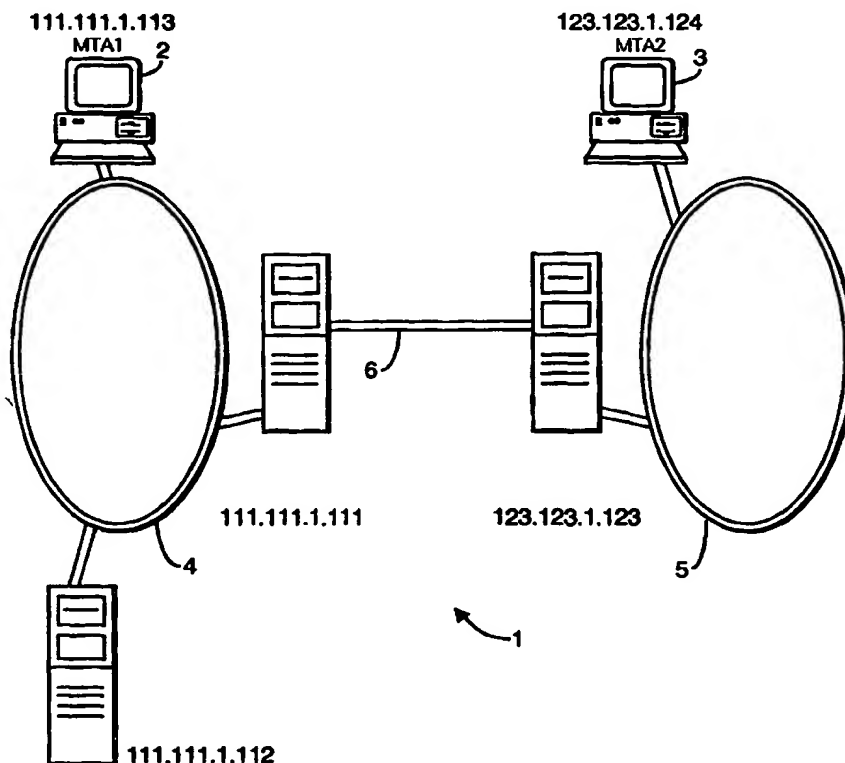
INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<b>(51) International Patent Classification <sup>6</sup>:</b> H04Q 11/04, H04L 29/06		<b>A1</b>	<b>(11) International Publication Number:</b> <b>WO 99/29135</b>
			<b>(43) International Publication Date:</b> 10 June 1999 (10.06.99)
<b>(21) International Application Number:</b> PCT/GB98/03501		<b>(81) Designated States:</b> AU, CA, CN, JP, SG, US, European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE).	
<b>(22) International Filing Date:</b> 24 November 1998 (24.11.98)			
<b>(30) Priority Data:</b> 97309810.6 98302452.2		<b>Published</b> With international search report.	
<b>(71) Applicant (for all designated States except US):</b> BRITISH TELECOMMUNICATIONS PUBLIC LIMITED COMPANY [GB/GB]; 81 Newgate Street, London EC1A 7AJ (GB).			
<b>(72) Inventors; and</b> <b>(75) Inventors/Applicants (for US only):</b> BEDDUS, Simon, Alexander [GB/GB]; 35 Grove Lane, Ipswich, Suffolk, IP4 1NX (GB); BRUCE, Gary, Leslie [GB/GB]; 34 Haughgate Close, Woodbridge, Suffolk IP12 1LQ (GB).			
<b>(74) Agent:</b> WELLS, David; BT Group Legal Services, Intellectual Property Dept., Holborn Centre, 8th floor, 120 Holborn, London EC1N 2TE (GB).			

**(54) Title:** COMMUNICATIONS NETWORK ✓

**(57) Abstract**

In a communications network, communications terminals exchange call control capability data which mutually identifies selected call control protocols and network address types. The terminals subsequently set up a call using protocols chosen from those identified. Preferably the terminals continuously monitor for a request for the exchange of such data, allowing other parties to join a session subsequently, after the initial set up.





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## COMMUNICATIONS NETWORK

BACKGROUND TO THE INVENTION

The present invention relates to a communications system, and in particular to a heterogeneous system employing a number of different call control mechanisms and different address types.

In a conventional, homogeneous, communications network, such as the public switched telephony network (PSTN), customers have only one type of address (in this case their telephone number) and there is a single uniform call control mechanism which is built into the network. The call control mechanism is used for establishing and for terminating calls and for recognising, e.g., when a called party is busy. Increasingly, however, customers have access to a range of different network technologies, each with its own address type. For example, a customer might have in addition to a telephone number a conventional IP (Internet protocol) address, a multicast IP address and a URL (uniform resource locator). In general, each of these different address types has associated with it a respective call control protocol (where the term "call control" is used broadly to denote the means for establishing and terminating connections between different parties. For example, audio or visual communication between parties using conventional IP addresses commonly uses the H.323 protocol, whereas for communication between broadband ATM addresses a different protocol, B-ISDN (broadband-integrated services digital network), is used. In practice, the call control protocol which is used for a particular communication session tends to be determined by the party who initiates the session. If other parties later join a session, they are then restricted to using the addressing and call control capabilities determined by the initiating party.

SUMMARY OF THE INVENTION

According to a first aspect of the present invention there is provided a method of operating a communications systems comprising:

- (a) exchanging between communication terminals call control capability data, which call control capability data identifies for each respective terminal a selected one or more of a plurality of different call control protocols and different network addresses and;

(b) setting up a call between the said communications terminals using call control protocols or network addresses identified in the said call control capability data.

The present invention makes it possible to use fully the capabilities of terminals in a heterogeneous communications system by providing for peer terminals to exchange data which identifies their call control and address types. This approach allows the full potential of a heterogeneous communications system to be realised, since the use of this mechanism makes it unnecessary for users to adopt the "lowest common denominator" in addressing and call control types. This serves to encourage the use of advanced call control and addressing mechanisms offering greater flexibility, even if initially those advanced call control and addressing mechanisms are used only by a minority of terminals in the communications system.

Preferably the step of exchanging call control capability data is carried out prior to initiating call set-up.

The exchange of data might be integrated with the call set-up process, forming the initial part of that process. However, for maximum flexibility, it is preferred that the exchange is carried out independently prior to call set-up. The user might then choose not to proceed with set-up depending upon the capabilities of the or each other terminal.

Preferably a first terminal initiates the exchange of call control capability data by transmitting the call control capability data for the first terminal to a second terminal and the second terminal returns an acknowledgement to the request, which acknowledgement includes call control capability data for the second terminal.

It is found to be particularly effective to implement the exchange of data interactively, using a simple request/response.

Preferably the method includes monitoring continuously at a communications terminal a communications port and carrying out the exchange of call control capability data whenever a request is received at the said port. Preferably the said step of monitoring continues after a call has been set up.

The preferred implementation further enhances the flexibility of the communications system, by allowing the exchange of capability data to be carried out at any time. This makes it possible for the system to respond, for example, to

the arrival of a new member with new communication capabilities in a multi-party communications session, or to respond to a change in the capabilities of one of the parties in an on-going session.

According to a second aspect of the present invention, there is provided a  
5 communications terminal including:

(a) means for exchanging call control capability data with other communications terminals, which call control capability data identifies for respective terminal a selected one or more of a plurality of different call control protocols and different network addresses; and

10 (b) means for setting up a call between the said communications terminal and the other communications terminal using a call control protocol or network address type identified in the call control capability data received from the said other communications terminal.

The invention also encompasses a communications system including  
15 communications terminal in accordance with the second aspect of the invention.

Methods and systems embodying the present invention will now be described in further detail, by way of example only, with reference to the accompanying drawings, in which:

Figures 1 is a schematic of a first network embodying the present  
20 invention;

Figure 2 illustrates the exchange of capability data;

Figures 3a and 3b illustrate protocol stacks for systems embodying the invention;

Figures 4a and 4b show message flow sequences in systems embodying  
25 the invention;

Figures 5 and 6 are diagrams showing software objects implementing the invention;

Figure 8 is a second embodiment; and

Figure 9 shows message flows in the networks of Figure 8.

30 A communications system 1 includes user terminals 2, 3 connected to different respective network domains 4, 5. In this example, the user terminals 2, 3 are computer workstations. The network domains in this example are broadband networks which support both ATM (asynchronous transfer modes) and IP (Internet protocol) transmission protocols. The user terminal has both a user address

(111.111.1.113) and an ATM address (ATM1). Similarly, the second user terminal has an Internet address (123.123.1.124) and an ATM address (ATM2). The network domains are linked by a connection 6 which also supports both of these protocols. Each of the terminals 2, 3 stores a respective client capability object  
5 which records the address types and call control types which the terminal is capable of handling. The client objects in the different terminals communicate with each other using a predetermined communication protocol (in the present example Internet protocol). The exchange of address and call control capabilities between two clients is carried out independently of the call or calls in progress  
10 between a session.

As illustrated in Figure 2, the exchange mechanism is initiated when a TRANSFER.request primitive is issued by the user of the outgoing client. The TRANSFER.request from the initiating client includes the client capabilities set for the corresponding terminal. This client capability set indicates all the call control  
15 technologies and addresses supported by the terminal. The user of the incoming client is notified of the request for the exchange of client capability data by a TRANSFER.indication primitive. The user of the incoming client then initiates transfer of its capabilities using the TRANSFER.response primitive. The capabilities of the incoming terminal, that is the terminal which receives the incoming client  
20 capability exchange request, are sent back to the originating terminal using a client capability set acknowledge message. The user of the originating client is notified that the exchange of capability data has taken place by a TRANSFER.confirm primitive.

The client capability set data in the message as described above identify  
25 which of a number of predetermined address types and call control types are supported. Examples of different address types which might be supported include e-mail, URL (uniform resource locator), IP multicase, IP unicast, E.164, AESA. Examples of different call control types include H.225.0, SDP, B-ISDN Q.2971, B-ISDN ATM-F UNI, N-ISDN Q.931, PSTN BTNR 315.

30 Table 1 below contains a complete listing of the address and call control types supported by one implementation of the invention. As indicated in the table, different integer codes are used to identify the different respective call control and address types.

TABLE 1

Class	Data
Client	familiarName : String distinguishedName : String domainName : String password : String clientCapabilities : List
ClientCapability	
Address	addressType : Integer = 0
IP	addressType : Integer = 1 version : String
Multicast	addressType : Integer = 2 version : String timeToLive : Integer
Unicast	addressType : Integer = 3 version : String
E164	addressType : Integer = 4 version : String
AESA	addressType : Integer = 5 version : String type : String
E-mail	AddressType : Integer = 7
URL	AddressType : Integer = 7 SummaryText : String
CallControl	callControlType : Integer = 0 version : String
H225	callControlType : Integer = 1 version : String
SDP	callControlType : Integer = 2 version : String
BISDN	callControlType : Integer = 3 version : String
ATM-FUNI3.1	callControlType : Integer = 4

	version : String
Q2931	callControlType : Integer = 5 version : String
Q2971	callControlType : Integer = 6 version : String
NISDN	callControlType : Integer = 7 version : String
Q931	callControlType : Integer = 8 version : String
PSTN	callControlType : Integer = 9 version : String
BTNR315	callControlType : Integer = 10 version : String
SMTP	callControlType : Integer = 11
HTTP	callControlType : Integer = 12

As indicated in the above table, the capabilities notified through the capability exchange mechanism may include a URL (uniform resource locator). The URL may be accessed by the terminal which initiated the capability set transfer in order to read details of further capabilities beyond those provided for in the table above. In this way the capability exchange protocol is made extensible to encompass new call protocols. The URL may also direct the terminal to resources, such as a Java applet, which may be downloaded by the terminal to facilitate its communication with the terminal which provided the URL. For example, the URL might relate to an HTTP page which includes a Java applet which displays a "call me" button. Then when the button is clicked on, a call is made from the terminal owning the URL to the other terminal.

Figures 3a and 3b illustrate the software architecture of a system embodying the invention. Each communications terminal runs a communications programme comprising a communications graphics user interface (GUI 31) on top of a communications application 32. The communications application 32 is supported by a number of resources 33 including a capability exchange module (CE) below this, a "listener module" continually monitors a predetermined socket

defined by the IP address of the communications terminal together with a 16-bit port number. The CE and listener modules may coexist with other resources such as the session invitation protocol (SIP) and H323 modules shown in Figure 3a. Capability set messages are passed between the UDP/TCP/IP layer and a capability exchange (CE) module. The listener module communicates transfer primitives to/from the CE module. In this preferred implementation, UDP (unreliable datagram protocol) is used rather than TCP (transport control protocol) for transporting the capability set data across the network. This avoids the overheads involved in setting up a TCP data stream. However this approach then requires that packets should be re-transmitted if not acknowledged after a predetermined period, to allow for the possibility of packet loss. Figure 3b shows message flows across different API's (application programmer's interfaces) as capability data is exchanged between two terminals. The transfer primitives shown in Figure 2 correspond to the API between the application layer (implemented using the Java language in this example) and the lower layers of the protocol stack.

Figures 4a and 4b show in further detail the sequence of message flows between terminals A and B in different implementations of the invention. In the sequence of Figure 4a, the exchange of capability data takes place prior to a session being established. Immediately after the exchange of capability data, a call is set-up using, e.g., the sequence of messages defined for an ISDN protocol such as H.320, in the case where the capability data indicated that both parties had this call control capability. In the second example, illustrated in Figure 4b, following the exchange of capability data, and prior to a call being set-up using, e.g., the H.323 call control protocol, Session Invitation Protocol (SIP) to establish the session.

Figures 5 and 6 are diagrams using the Rational ROSE (Rational Object-oriented Software Engineering) formalism to define software objects for implementing the embodiments discussed above. The structure shown may be compiled using the ROSE software tool which is available commercially from Rational Software Corp. of Santa Clara, California to generate, e.g., C++ code to form the basis of an implementation of the invention. As shown in Figure 6, a client object which is instantiated on each terminal includes clientcapabilityset and clientcapabilityreturn methods, which methods are inherited by a client capability



object. The properties of the client capability object are in turn inherited by address and call control objects as shown in Figure 5.

As an alternative to the direct transfer of client capability data, this may be effected via a directory. This method is described in the co-pending European application 97309810.6 filed 4 December 1997 (agent's reference A25527) the contents of which are incorporated herein by reference. Figure 7 illustrates an embodiment in which the exchange of data is mediated by a directory platform 7. The directory platform 7 is connected to the network by a link 8 which transports IP data between the network and the directory platform 7. The other components of the network are as previously described with respect to Figure 1.

In use, customers at user terminals 2,3 both register with a directory server which, in this example, runs on the directory platform 7. Subsequently, as will be further described below, when a customer at user terminal 2 wishes to contact the customer registered at user terminal 3, then a request is submitted to the directory server. This request is transmitted to the IP address of the directory platform 7. The request includes data, such as the customer name, which identifies the called customer. The directory server uses this data to select a corresponding user profile which was created when the customer registered with the directory server. From the selected user profile the directory server returns to the calling customer the network addresses and call control capabilities of the called customer. Using this information the calling customer sets up a call to the other customer. For example, the calling customer in this instance may choose to establish a connection to the ATM address (ATM2) using the ATM call control protocol ( Q.2931).

Figure 8 shows the message flows between a local client, the directory platform (or "server") 7 and a remote client in this embodiment, as the local client registers its call control capability with the directory, and the remote client subsequently reads the call control capability data.

## CLAIMS

1. A method of operating a communications systems comprising:
  - (a) exchanging between communication terminals call control capability data, which call control capability data identifies for each respective terminal a selected one or more of a plurality of different call control protocols and different network addresses and;
  - (b) setting up a call between the said communications terminals using call control protocols or network addresses identified in the said call control capability data.
2. A method according to claim 1, in which the step of exchanging call control capability data is carried out prior to initiating call set-up.
3. A method according to claim 1 or 2, in which a first terminal initiates the exchange of call control capability data by transmitting the call control capability data for the first terminal to a second terminal and the second terminal returns an acknowledgement to the request, which acknowledgement includes call control capability data for the second terminal.
4. A method according to any one of the preceding claims, including monitoring continuously at a communications terminal a communications port and carrying out the exchange of call control capability data whenever a request is received at the said port.
5. A method according to claim 4, in which the monitoring of the communications port continues after a call has been set up.
6. A method according to any one of the preceding claims, including communicating as part of the said call control capability data a pointer to a source of further data identifying capabilities not provided for directly in the call control capability exchange protocol.

7. A method according to claim 6, in which the pointer is a uniform resource locator (URL).

8. A communications terminal including:

5           (a) means for exchanging call control capability data with other communications terminals, which call control capability data identifies for a respective terminal a selected one or more of a plurality of different call control protocols and different network addresses; and

             (b) means for setting up a call between the said communications  
10 terminal and the other communications terminal using a call control protocol or network address type identified in the call control capability data received from the said other communications terminal.

9. A communications network including a communication terminal according to  
15 claim 8.

10. A communications network comprising a plurality of communication terminals, in which different ones of the plurality of communications terminals support different respective call control protocols, and in which each of the  
20 communications terminals includes:

             (a) means for exchanging call control capability data with other communications terminals, which call control capability data identifies for a respective terminal a selected one or more of the plurality of different call control protocols and different network addresses; and

25           (b) means for setting up a call between the said communications terminal and the other communications terminal using a call control protocol or network address type identified in the call control capability data received from the said other communications terminal.

1/10

Fig.1.

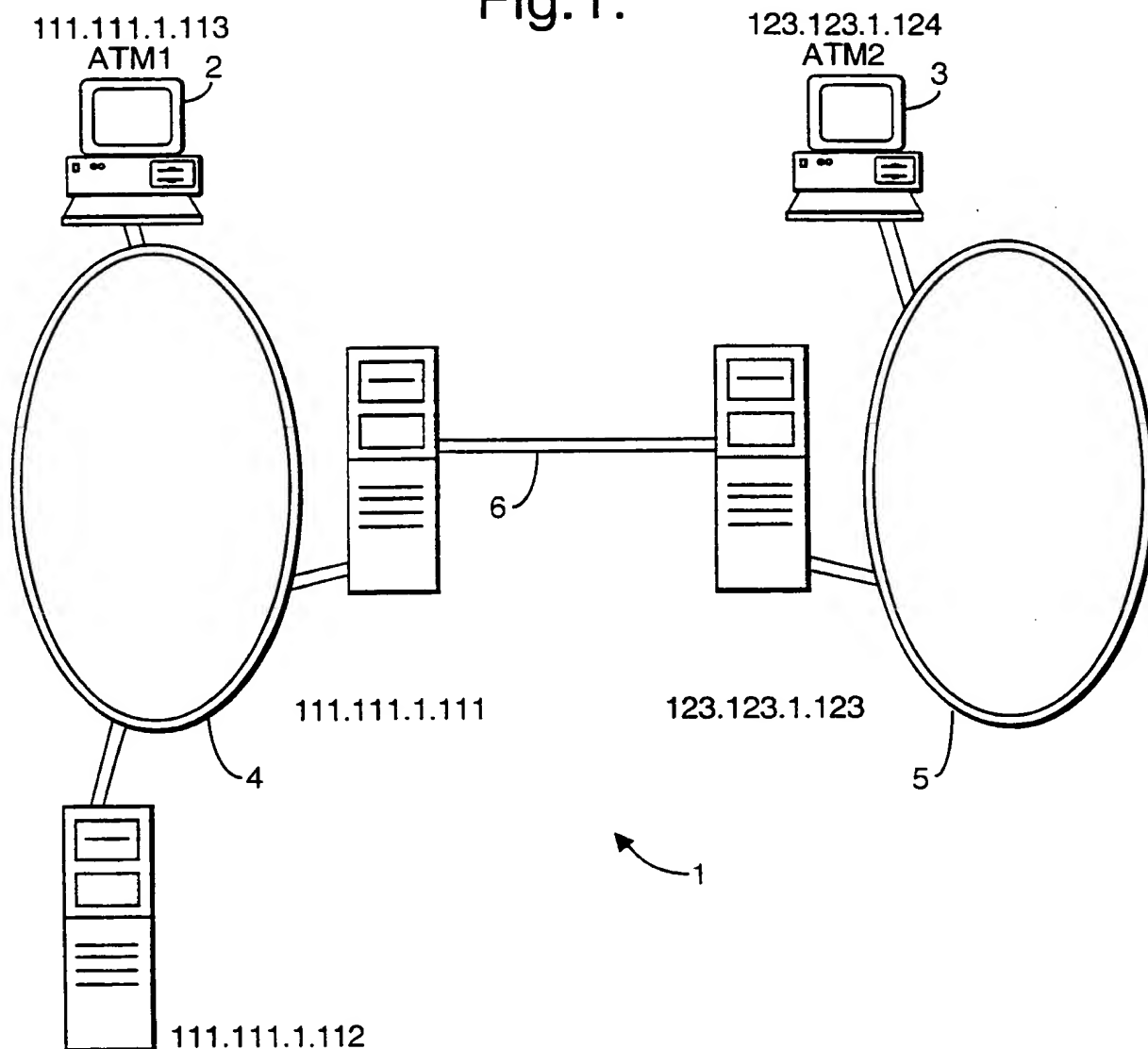
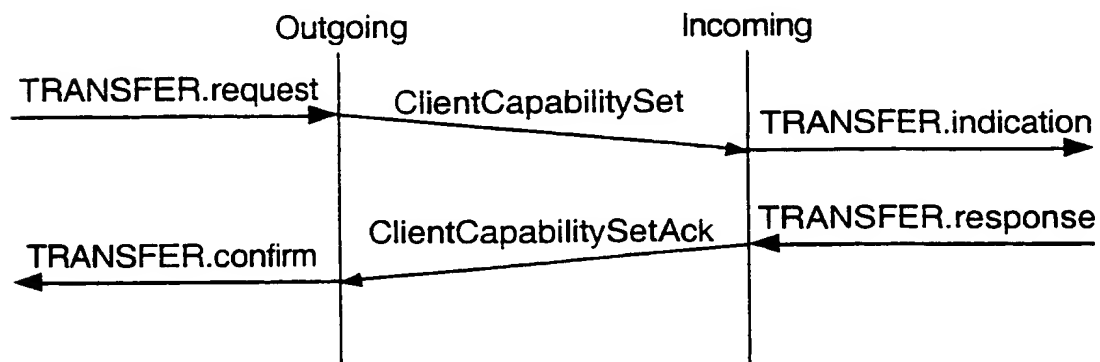


Fig.2.



2/10

Fig.3a.

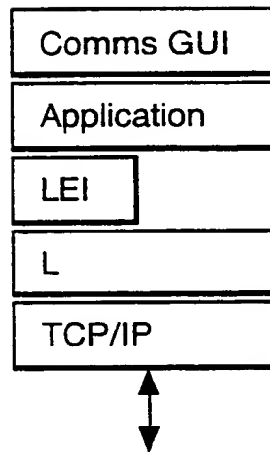
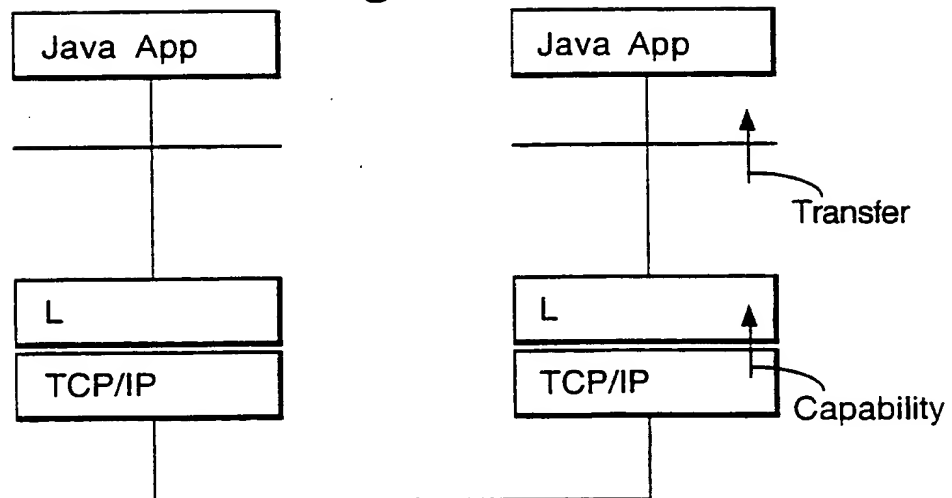


Fig.3b.



3/10

Fig.4a.

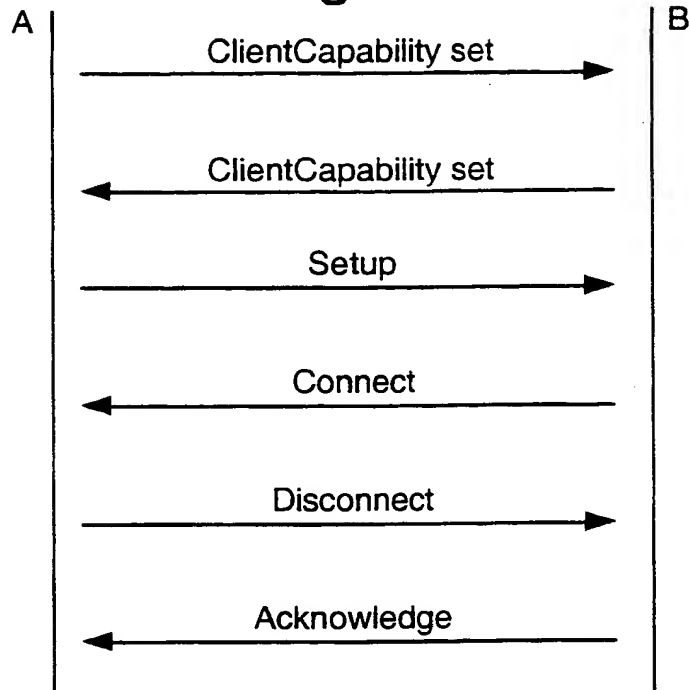
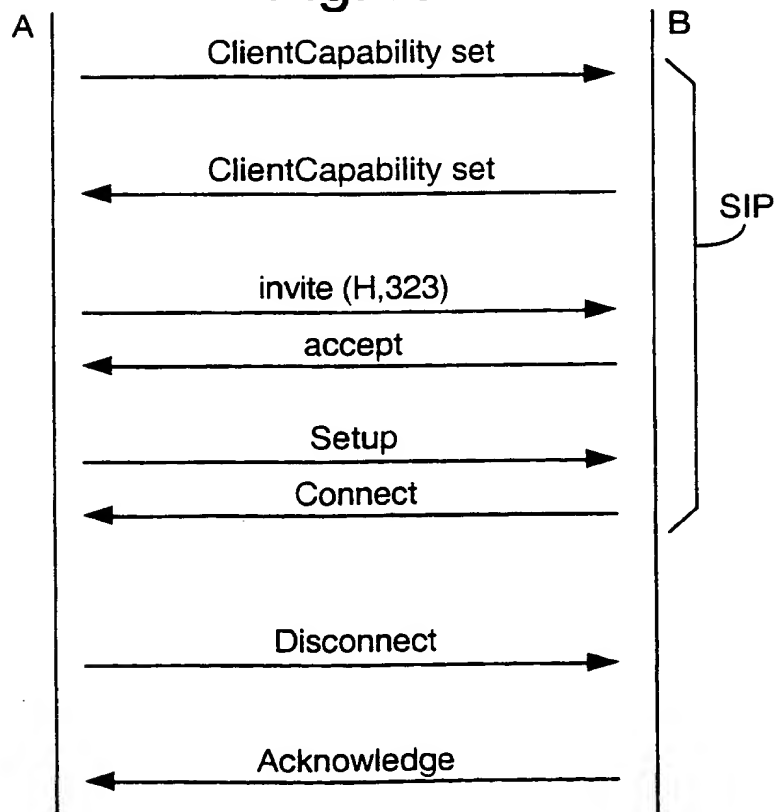
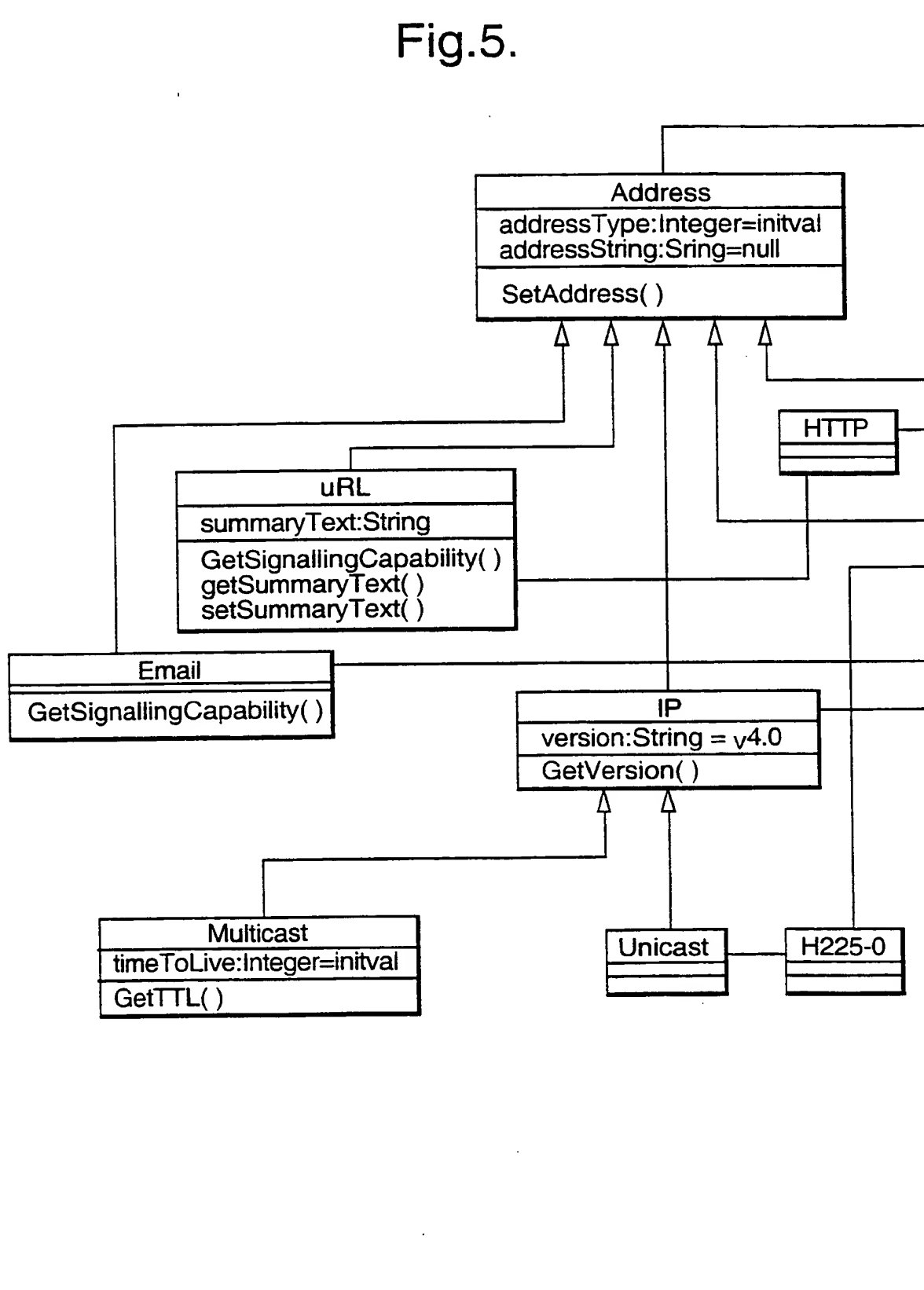


Fig.4b.



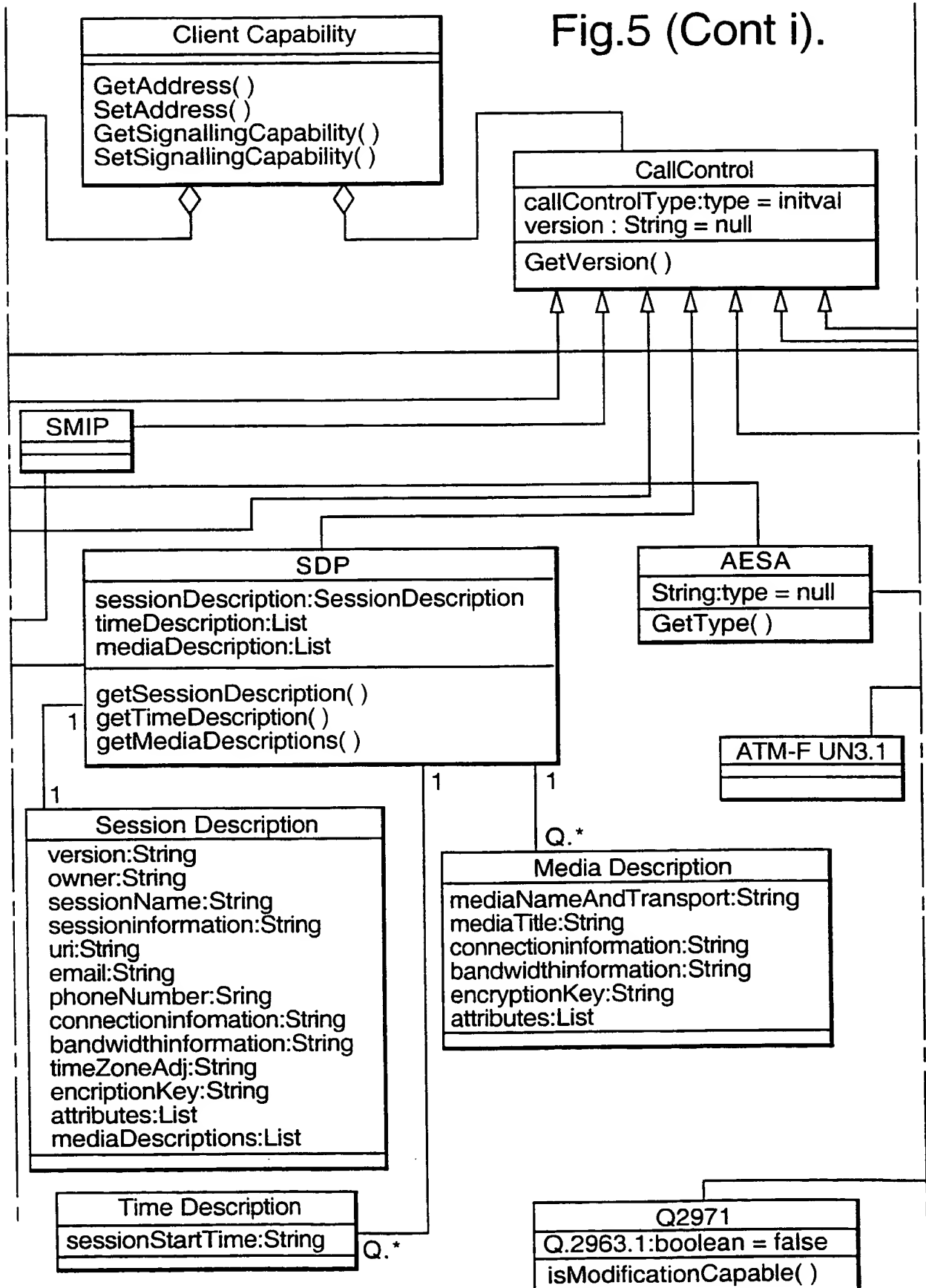
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Fig.5.



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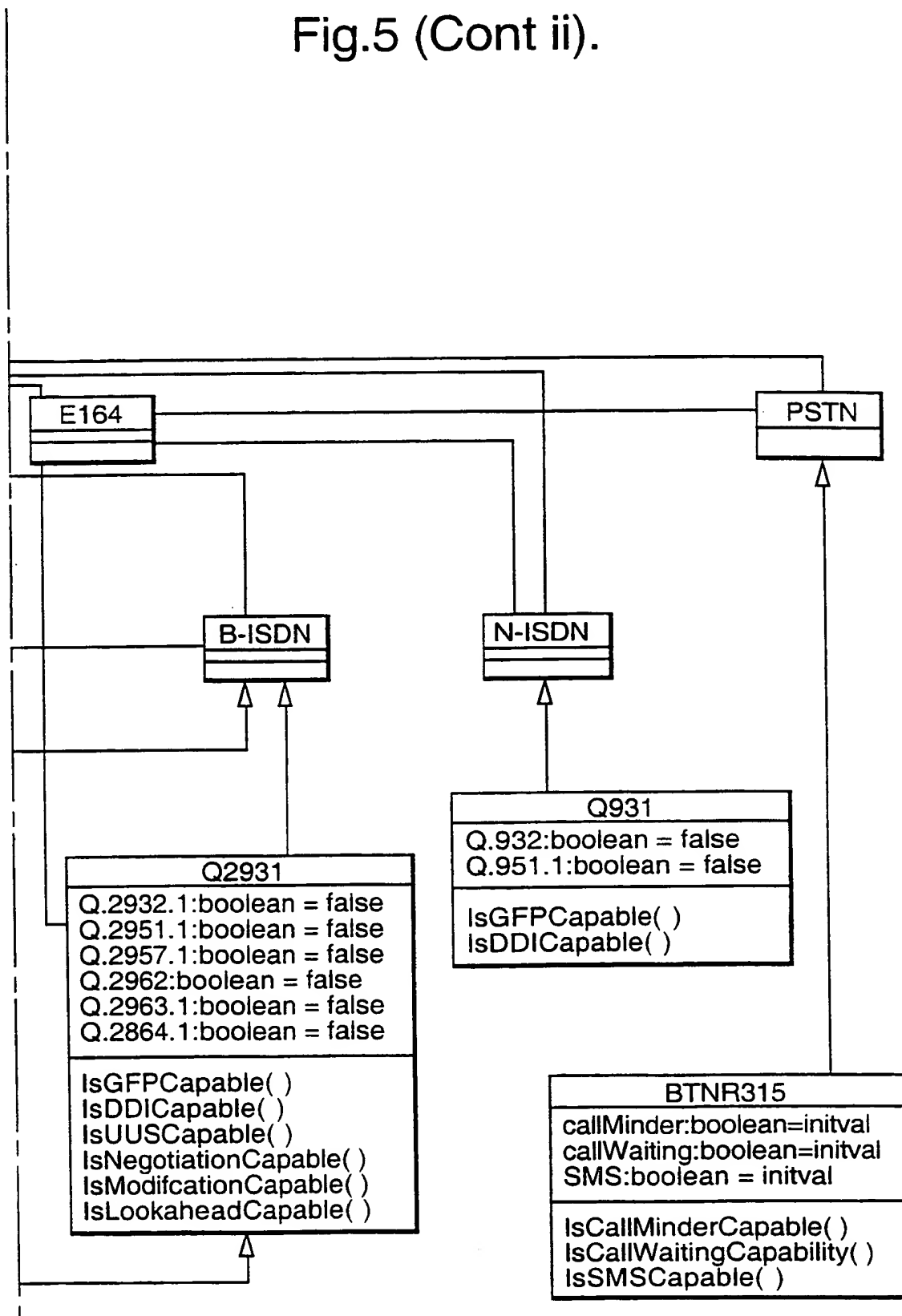
Fig.5 (Cont i).





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Fig.5 (Cont ii).



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Fig.6.

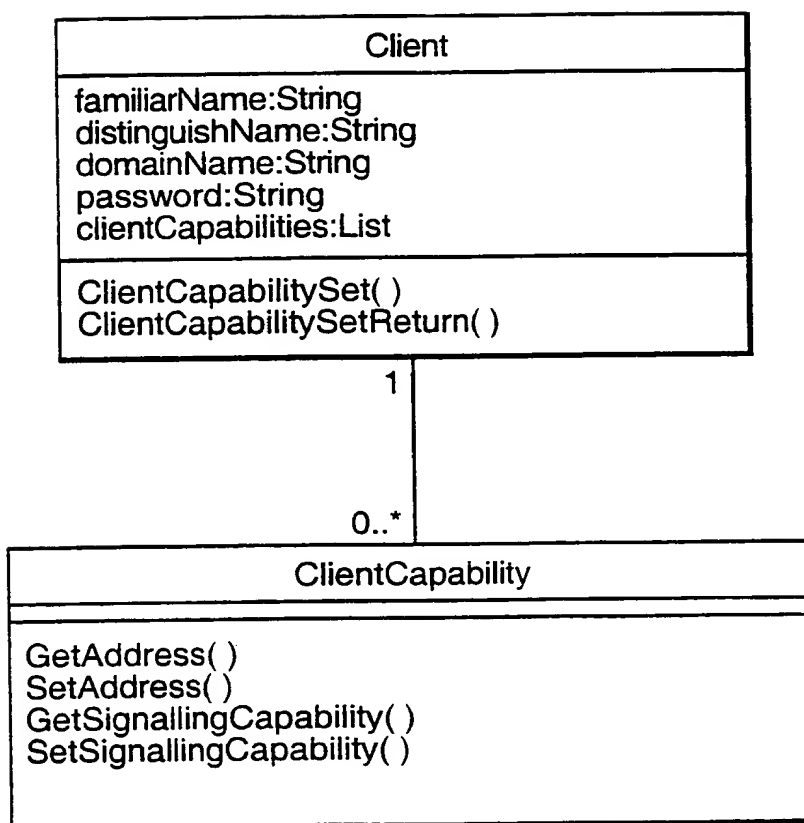
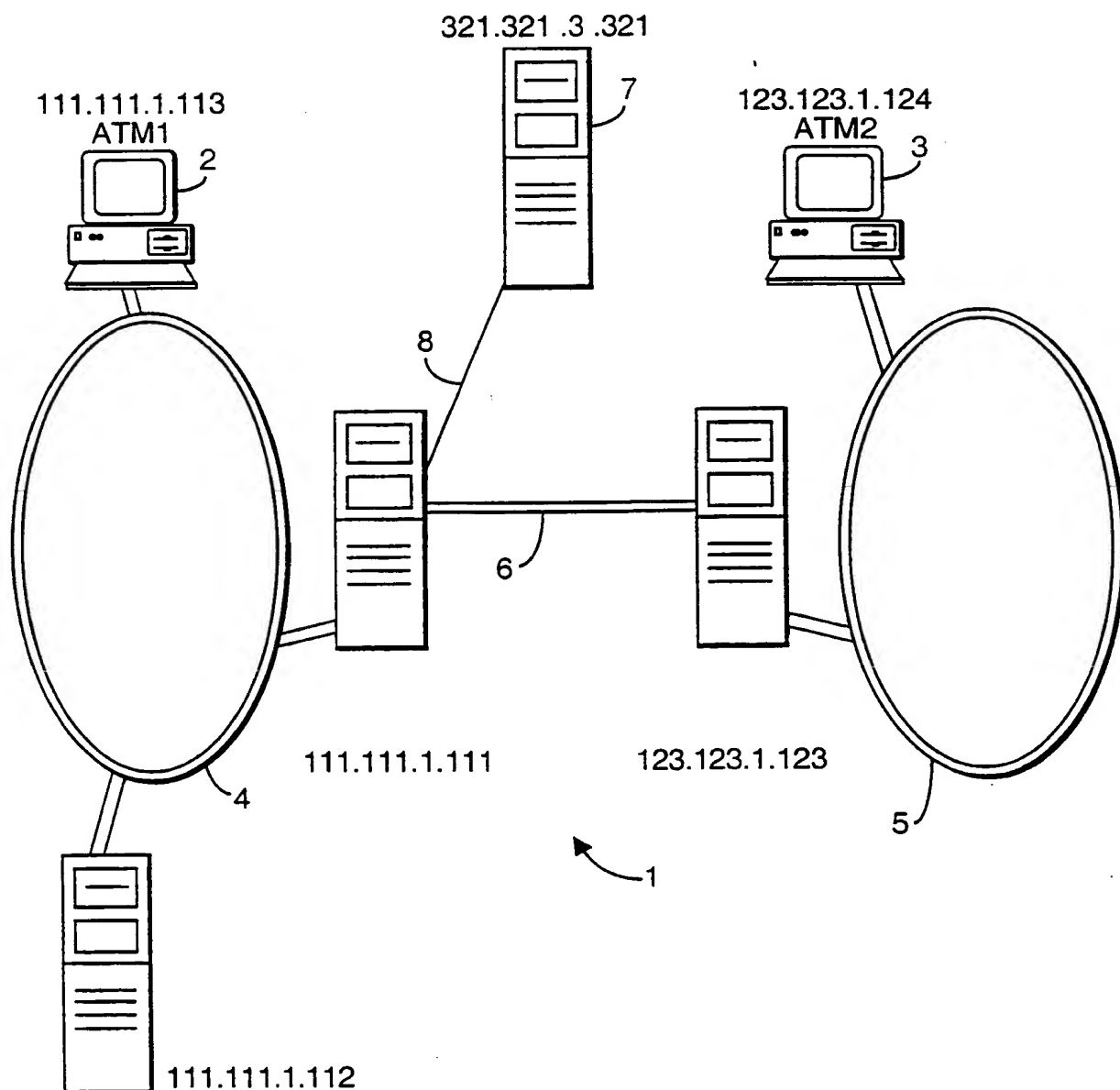
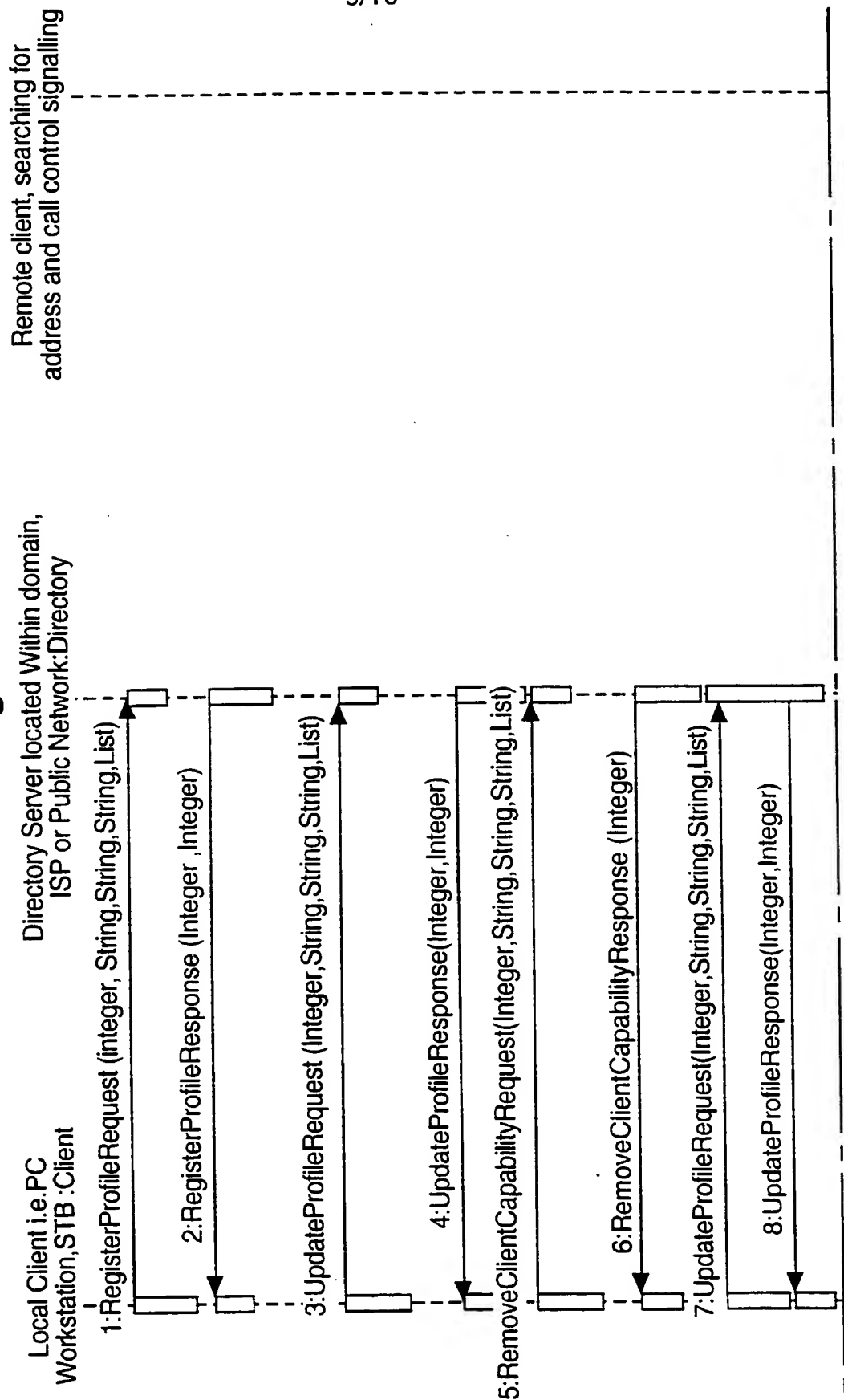


Fig.7.

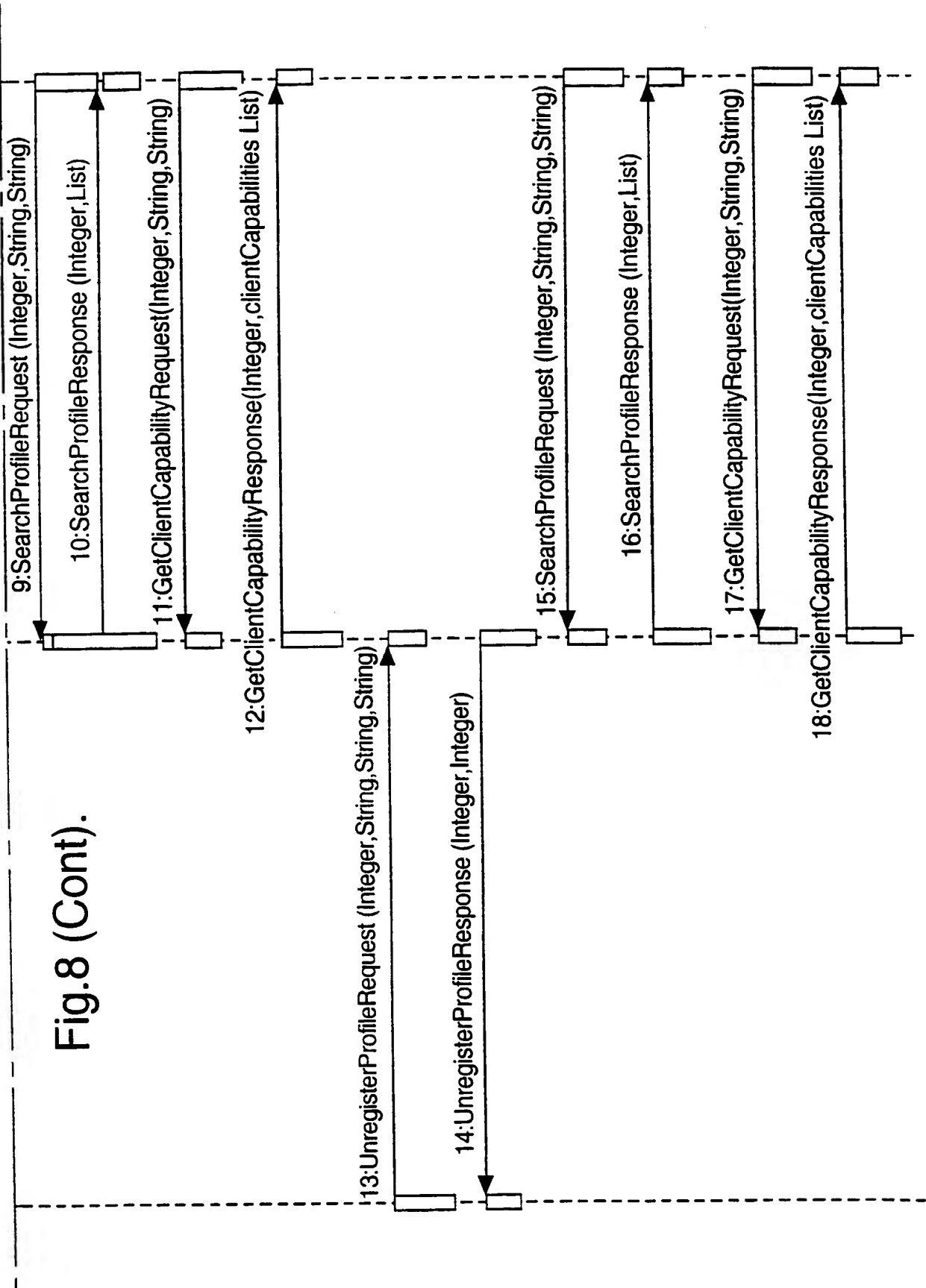


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Fig.8.



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# INTERNATIONAL SEARCH REPORT

International Application No

PCT/GB 98/03501

## A. CLASSIFICATION OF SUBJECT MATTER

IPC 6 H04011/04 H04L29/06

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 6 H04Q H04L

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	<p>MIKELAITIS P.: "A tutorial on ISDN Customer Call Control. I"</p> <p>THE TELECOMMUNICATION JOURNAL OF AUSTRALIA,</p> <p>vol. 38, no. 1, 1988, pages 75-92,</p> <p>XP002075878</p> <p>AU</p> <p>see abstract</p> <p>see paragraph 5.4 - paragraph 5.7; figure 5.3B</p> <p>---</p> <p>-/--</p>	1,3-9

☒ Further documents are listed in the continuation of box C.

☐ Patent family members are listed in annex.

### \* Special categories of cited documents :

"A" document defining the general state of the art which is not considered to be of particular relevance

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Date of the actual completion of the international search

4 March 1999

Date of mailing of the international search report

17/03/1999

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Staessen, B

## INTERNATIONAL SEARCH REPORT

International Application No  
PCT/GB 98/03501

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	VEERARAGHAVAN M: "CONNECTION CONTROL IN ATM NETWORKS" BELL LABS TECHNICAL JOURNAL, vol. 2, no. 1, 21 December 1997, pages 48-64, XP000659568 page 61, paragraph "Logical connection setup procedure" see figure 9 ---	1-9
A	KELLY B ET AL: "SERVICE VALIDATION AND TESTING" FEATURE INTERACTIONS IN TELECOMMUNICATIONS SYSTEMS III, PAPERS PRESENTED AT THE THIRD FEATURE INTERACTIONS WORKSHOP (FIW '9 KYOTO, OCT. 11 - 13, 1995, no. WORKSHOP 3, 11 October 1995, pages 173-184, XP000593332 CHENG K E; OHTA T see abstract see paragraph 3.1 - paragraph 3.2.2 -----	1-9